

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

020304

142300  
U.S.PTO

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonapplications under 37C.F.R. §1.53(b))

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

Attorney Docket No.

PC10139B

First Inventor

Nancy J. Harper

Title

SERTRALINE ORAL CONCENTRATE

Express Mail Label No.

EL 874867979 US

<b>APPLICATION ELEMENTS</b>		ADDRESS TO:	Mail Stop Patent Application Commissioner for Patents Box 1450 Alexandria, VA 22313-1450
<p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original, and a duplicate for fee processing)</p> <p>2. <input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27</p> <p>3. <input checked="" type="checkbox"/> Specification [Total Pages 19] (preferred arrangement set forth below)           <ul style="list-style-type: none"> <li>- Descriptive title of the Invention</li> <li>- Cross References to Related Applications</li> <li>- Statement Regarding Fed sponsored R&amp;D</li> <li>- Reference to sequence listing, a table, or a computer program listing appendix</li> <li>- Background of the Invention</li> <li>- Brief Summary of the Invention</li> <li>- Brief Description of the Drawings (if filed)</li> <li>- Detailed Description</li> <li>- Claim(s)</li> <li>- Abstract of the Disclosure</li> </ul> </p> <p>4. <input type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total sheets]</p> <p>5. <input checked="" type="checkbox"/> Oath or Declaration [Total pages]           <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> Newly executed (original or copy)</li> <li>b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR §1.63(d)) (for continuation/divisional with Box 18 completed)               <ul style="list-style-type: none"> <li>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</li> </ul> </li> </ul> </p> <p>6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p>		<p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or computer Program (Appendix)</p> <p>8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)           <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> Computer Readable Copy (CRF)</li> <li>b. Specification Sequence Listing on:               <ul style="list-style-type: none"> <li>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies)</li> <li>ii. <input type="checkbox"/> Paper</li> </ul> </li> <li>c. <input type="checkbox"/> Statement verifying identity of above copies</li> </ul> </p>	
<b>ACCOMPANYING APPLICATION PARTS</b> <ul style="list-style-type: none"> <li>9. <input type="checkbox"/> Assignment Papers (cover sheet &amp; document(s))</li> <li>10. <input checked="" type="checkbox"/> 37 CFR 3.73(b) Statement <input checked="" type="checkbox"/> Power of Attorney (when there is an assignee)</li> <li>11. <input type="checkbox"/> English Translation Document (if applicable)</li> <li>12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations</li> <li>13. <input checked="" type="checkbox"/> Preliminary Amendment</li> <li>14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)</li> <li>15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)</li> <li>16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.</li> <li>17. <input type="checkbox"/> Other:</li> </ul>			

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37CFR 1.76.

 Continuation Divisional Continuation-in-part (CIP)of prior application No. 09/417,175

Prior application information: Examiner Group/Art Unit:

For CONTINUATION OR DIVISIONAL APPS only; The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts**19. CORRESPONDENCE ADDRESS**

<input checked="" type="checkbox"/> Customer Number	23913	or <input type="checkbox"/> Correspondence address below	
Name			
Address			
City	State	Zip Code	
Country	Telephone	Fax	

NAME (Print/type)	A. David Joran	Registration No. (Attorney/Agent)	37,858
Signature	February 3, 2004		

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application; Commissioner for Patents; P.O. Box 1450, Alexandria, VA 22313-1450.—

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

17497 U.S.PTO  
10/17/1985

020304

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

# FEE TRANSMITTAL

## for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

 Applicant claims small status. See 37 CFR 1.27

Total Amount of Payment \$770.00

## METHOD OF PAYMENT (check all that apply)

 Check  Credit Card  Money  Other  None  
Order
 Deposit Account:

Deposit Account Number	16-1445
Deposit Account Name	Pfizer Inc

The Director is authorized to: (check all that apply)

 Charge fee(s) indicated below  Credit any overpayments  
 Charge any additional fee(s) or any underpayment of fee(s)
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1001	770	2001	385	Utility filing fee	770
1002	340	2002	170	Design filing fee	
1003	530	2203	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	filng fee	
Subtotal (1)s				\$ 770	

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Extra Claims	Fee from below	Fee Paid
Total Claims	13 - 20** = 0	x 18 = 0	
Independent Claims	1 - 3 = 0	x 86 = 0	
Multiple Dependent			

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue independent claims over original patent
			(\$ 0)	

\*\*or number previously paid, if greater. For Reissues, see above

Complete if Known	
Application Number	Not Yet Assigned

Filing Date	Concurrently Herewith
-------------	-----------------------

First Named Inventor	Nancy J. Harper
----------------------	-----------------

Examiner Name	
---------------	--

Art Unit	
----------	--

Attorney Docket No.	PC10139B
---------------------	----------

## FEE CALCULATION (continued)

3. ADDITIONAL FEES		Fee Description		Fee Paid
Large Entity	Small Entity	Fee Code	Fee (\$)	
		1051	130	2051 65 Surcharge – late fee or oath
		1052	50	2052 25 Surcharge – late filing fee or cover sheet
		1053	130	1053 130 Non-English specification
		1812	2,520	1812 2,520 For filing a request for Ex Parte reexamination
		1804	920*	1804 920* Requesting publication of SIR prior to Examiner action
		1805	1,840*	1805 1,840* Requesting publication of SIR after Examiner action
		1251	110	2251 55 Extension for reply within first month
		1252	420	2252 210 Extension for reply within second month
		1253	950	2253 475 Extension for reply within third month
		1254	1,480	2254 740 Extension for reply within fourth month
		1255	2,010	2255 1,005 Extension for reply within fifth month
		1401	330	2401 165 Notice of Appeal
		1402	330	2402 165 Filing a brief in support of an appeal
		1403	280	2403 145 Request for oral hearing
		1451	1,510	1451 1,510 Petition to institute a public use proceeding
		1452	110	2452 55 Petition to revive unavoidable
		1453	1,330	2453 665 Petition to revive – unintentional
		1501	1,330	2501 665 Utility issue fee (or reissue)
		1502	480	2502 240 Design issue fee
		1503	640	2503 320 Plant issue fee
		1460	130	1460 130 Petitions to the Commissioner
		1807	50	1807 50 Processing fee under 37 CFR 1.17(q)
		1806	180	1806 180 Submission of Information Disclosure Stmt
		8021	40	8021 40 Recording each patent assignment per property (times number of properties)
		1809	770	2809 385 Filing a submission after final rejection (37 CFR 1.129(a))
		1810	770	2810 385 For each additional invention to be examined (37 CFR 1.129(b))
		1801	770	2801 385 Request for Continued Examination (RCE)
		1802	900	1802 900 Request for expedited examination of a design application
		Other Fee (specify)		

*Reduced by Basic Filing Fee Paid	Subtotal (3)	(\$)
-----------------------------------	--------------	------

(Complete if applicable)

## SUBMITTED BY

Name (Printed/Type)	A. David Joran	Registration No.	37,858	Telephone	212-733-3381
Signature					

Warning: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file ( and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-pto-9199 and select option 2.

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE APPLICATION OF: Nancy J. Harper, et al. :  
Examiner: Oh, Taylor V.  
APPLICATION NO.: Not Yet Known :  
Group Art Unit: 1624  
FILING DATE: Concurrently Herewith :  
TITLE: SERTRALINE ORAL CONCENTRATE :

Commissioner for Patents  
Box Patent Application  
P.O. Box 1450  
Alexandria, VA. 22313-1450

Sir:

**CERTIFICATE UNDER 37 CFR §3.73(B)**

Pfizer Inc, a Corporation of the State of Delaware  
(Name of Assignee) (Type of Assignee, e.g. corporation, partnership,  
university, government agency, etc.)

certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of either:

A.  An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel 010313, Frame 0246, or for which a copy thereof is attached.

OR

B.  A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the Patent and Trademark Office at Reel \_\_, Frame \_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the Patent and Trademark Office at  
Reel \_\_, Frame \_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the Patent and Trademark Office at  
Reel \_\_, Frame \_\_, or for which a copy thereof is attached.

Additional documents in the chain of title are listed on a supplemental sheet.

Copies of assignments or other documents in the chain of title are attached.

The undersigned has reviewed all the documents in the chain of title of the patent application identified above and, to the best of undersigned's knowledge and belief, title is in the assignee identified above.

The undersigned (whose title is supplied below) is empowered to sign this certificate on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

February 3, 2004  
Date

Pfizer Inc  
By:   
A. David Joran  
Senior Patent Counsel  
Reg. No. 37,858